



In Place of FORM PTO-1449 (Modified)

Serial No.: 10/033,470  
Applicants: Richard E. Smalley et al.  
Filing Date: December 28, 2001  
Group: 1754  
Atty. Docket No.: 11321-P012USD9

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE  
STATEMENT**

Reference Designation

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
<u>SH</u> AAA	5,698,175	12/16/1997	Hiura et al.	423	447.1	
ABA						
ACA						

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
ADA						

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner  
Initial

SH AEA

AJAYAN et al., "Opening carbon nanotubes with oxygen and implications for filing," *Nature*, Volume 362, pp. 522-525 (April 8, 1993).

Examiner:

H. J. Jones

Date Considered:

8/3/04

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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____ AAA						

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes <input type="checkbox"/> No <input type="checkbox"/>
<u>SW</u> ABA	EP 1 176 234 A2	12/05/1993	European	—	—	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)Examiner  
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- SW ACA LI, *et al.*, "Large-Scale Synthesis of Aligned Carbon Nanotubes," *Science*, Volume 274, December 6, 1996, pp. 1701-1703.
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